

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NI-585-12-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of:

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 1, 3, 4, 6 a/b/c, 7b, 9 a/b/c, 10 a/b/c, 11 a/b/c, 12, 13 a/b/c /d/e/f/g/h

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

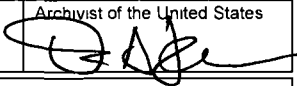
Item 2 superseded by GRS 1.3, Item 040 (DAA-GRS-2015-0006-0005)

Item 7a superseded by GRS 5.7, Item 070 (DAA-GRS-2017-0012-0004)

Item 8a superseded by GRS 5.1, Item 020 (DAA-GRS-2016-0016-0002)

Item 8b superseded by GRS 5.1, Item 020 (DAA-GRS-2016-0016-0002)

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Request for Records Disposition Authority (See Instructions on reverse)		Leave Blank (NARA Use Only)	
To National Archives and Records Administration (NIR) Washington, DC 20408		Job Number N1-585-12-01	
1 From (Agency or establishment) U S Election Assistance Commission		Date Received 6/8/2012	
2 Major Subdivision Office of the Inspector General		Notification to Agency In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3 Minor Subdivision			
4 Name of Person with whom to confer Mary Anne Bradfield	5 Telephone (include area code) 202-566-2256	Date 25 Feb 2013	Archivist of the United States 
6 Agency Certification I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>11</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached <input type="checkbox"/> has been requested			
Signature of Agency Representative Mary Anne Bradfield		Title Agency Records Officer Date (mm/dd/yyyy) 06/08/2012	
7 Item Number	8 Description of Item and Proposed Disposition	9 GRS or Superseded Job Citation	10 Action taken (NARA Use Only)
	Please see attached <div style="font-size: 1.5em; text-align: center;">Comprehensive Agency Schedule</div>	see attached for GRS exemptions.	



U.S. ELECTION ASSISTANCE COMMISSION

Subject: Agency Specific Records Schedule Items for National Archives and Records Administration (NARA) Approval - Office of the Inspector General

I. PURPOSE

To obtain National Archives and Records Administration approval for proposed records dispositions for the attached list of agency specific records relating to the function of the Office of Inspector General (OIG)

II. APPLICABILITY

This section applies to all OIG employees.

**Some items apply
Agency-wide See
appraisal report
SAC.*

III. RESPONSIBILITIES

All OIG employees are responsible for maintaining and disposing of records in accordance with the EAC and OIG record retention schedules

IV. PROPOSED DISPOSITION SCHEDULE REQUIRING NARA APPROVAL FOR THE OFFICE OF INSPECTOR GENERAL (OIG):

See the attached 10 pages for dispositions requiring NARA approval.

Also attached is a 46 page spreadsheet listing the overall OIG inventory, including records covered under the General Records Schedule (GRS), as a reference for NARA reviewers

1 ~~13.~~ **FOIA ANNUAL REPORTS**

Annual reports produced in compliance with the FOIA and delivered to Congress.

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old.

2 ~~24.~~ **BUDGET BACKGROUND RECORDS**

Cost statements, rough data and similar materials accumulated in the prepartion of annual budget estimates, including duplicates of budget estimates and justifications and related appropriation language sheets, narrative statements, and related schedules; and originating offices' copies of reports submitted to budget office.

DISPOSITION: Cutoff 2 years after agency budget is submitted to OMB. Destroy 1 year after cutoff or when no longer needed for Agency business, whichever is longer. (Extension beyond GRS 5, Item 2, for OIG only)

3 ~~33.~~ **LEGAL ADMINISTRATIVE CASE FILES.**

Records include memoranda, correspondence, decisions, and background papers. Applies to cases involving litigation, hearings, investigations, arbitration, or mediation.

DISPOSITION: TEMPORARY. Cut off after final appeal decision or dismissal. Destroy 15 years after final appeal decision.

4 ~~34.~~ **LEGAL OPINIONS, COMMENTS ON LEGISLATION AND OTHER LEGAL FILES WITH HISTORIC VALUE.**

Records include memoranda, reports and other records used to express official legal opinion, interpret legislation or set precedent.

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year

blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old

5 ~~35.~~ **SPEECHES, ADDRESSES AND TESTIMONY.**

Records include official recordkeeping copy of formal speeches or testimony delivered by the Inspector General or his designee concerning audits, investigations, reviews and inspections of EAC programs and operations. Speeches, addresses and testimony delivered by EAC Commissioners and other Agency officials also fall under this schedule.

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old.

6 ~~80.~~ **SCHEDULES OF DAILY ACTIVITIES.** ("a" and "b" covered under GRS)

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by Federal employees while serving in an official capacity, EXCLUDING materials determined to be personal.

(c) Records containing substantive information relating to official activities of high level Agency officials.

~~i.~~ Commissioners and assigned high level staff.

6a **DISPOSITION: PERMANENT.** Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old.

~~ii.~~ Executive Director, General Counsel and other statutory or senior management level Agency positions.

6b **DISPOSITION: TEMPORARY.** Cut off at the end of the calendar year. Destroy or delete 2 years after the separation or retirement of the related official.

iii. Inspector General.

6 c **DISPOSITION: TEMPORARY.** Cut off at the end of the calendar year. Destroy or delete 2 years after the separation or retirement of the Inspector General.

7 ~~83.~~ **FEDERAL REGISTER NOTICE RECORDS.**

7 a. Files documenting the processing of notices announcing committee meetings, including meetings open to the public under the Government in Sunshine Act (5 U.S.C. 552b(e)(3)); hearings and investigations; filing petitions and applications; issuance of revocation of a license; grant application deadlines, the availability of certain environmental impact statements; delegations of authority; and other matters that are not codified in the Code of Federal Regulations.

This includes federal register related items relevant to the National Voter Registration Act, Voluntary Voting System Guidelines, EAC Research, Grants, Clearinghouse and other agency program areas.

DISPOSITION: TEMPORARY. Cut off at the end of the calendar year. Destroy 3 years after final rule, Commission Public Meeting or other related event is completed. (Request is beyond GRS 16/13)

7 b. Files documenting the processing of notices of proposed and final rule making relative to administrative regulations governing the Agency or OIG operations, particularly those governing the implementation of the Freedom of Information Act, Privacy Act and other administrative laws by the OIG.

DISPOSITION: TEMPORARY. Cut off at the end of the calendar year. Destroy when 3 years old or when superseded or obsolete, whichever is later. (Request is beyond GRS 16/13)

8 93. **ELECTRONIC MAIL AND WORD PROCESSING SYSTEM COPIES**

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

- 8 a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

DISPOSITION: TEMPORARY. Cut off within 180 days after the record keeping copy has been produced. Destroy/Delete at Cutoff – 180 days after the record keeping copy has been produced.

- 8 b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

DISPOSITION: TEMPORARY. Cut off when dissemination, revision or updating is completed. Destroy/Delete at cutoff – when dissemination, revision or updating is completed.

9 94. **OIG INVESTIGATIVE FILES**

OIG Investigative files include case files developed during investigations of misconduct, fraud, waste and abuse, and/or violations of laws and regulations. These files may also be generated by cases involving EAC personnel, programs, and operations administered or financed by EAC, including contractors, grantees, and anyone having a relationship with EAC. The files consist of investigative reports and related documents such as correspondence, notes, attachments, and background and working files. Investigative case files are opened when the factual basis of a complaint or allegation is deemed to warrant investigation and are categorized according to historical value.

- 9 (a) OIG Investigative Files with historical or other significance

opened when the factual basis of a complaint or allegation is deemed to warrant a formal investigation. An investigative case may result in a referral for criminal prosecution, civil adjudication, or administrative action.

Investigative files constitute the written agency record of investigative cases, including investigative reports and such related documents as correspondence and attachments. Peer review files document the conduct of peer reviews either of investigations units in other OIG offices by the EAC OIG or of the EAC OIG investigations by another OIG. The files are classified according to historical value.

Investigative case files of significant value, including those cases that:

- (1) Attract substantial national or regional media attention;
- (2) Result in Congressional investigations;
- (3) Result in substantive changes in EAC policies and procedures;
- (4) Result in a criminal conviction, civil remedy or administrative action; or
- (5) Involve the Commissioners or senior EAC officials

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old.

- 9 (b) Investigative Files without historical value (aka-“other investigative files”).

DISPOSITION: TEMPORARY. Cutoff at the end of the calendar year in which the investigation is closed. Destroy 15 years after cutoff – end of the calendar year investigation closed.

- 9 (c) Miscellaneous or preliminary case files

Files containing information or allegations of an investigative nature but which do not result in opening an investigative file. These files may include anonymous or vague allegations not warranting an investigation, matters referred to other agencies for handling, and support files providing general information that may prove useful in Inspector General Investigations.

DISPOSITION: TEMPORARY. Cut off annually at the calendar year in which the record was created Destroy 7 years after cut off – at the end of the calendar year in which the record is created.

\0 95. **OIG AUDIT, EVALUATION, INSPECTION AND REVIEW FILES.**

Audit, evaluations, inspections and other reviews that assist management in identifying, analyzing, and resolving program and organizational performance/policy issues, studies of areas of specific concern, and internally generated study initiatives designed to achieve organizational improvement. These files include draft reports, final reports, working papers, follow up files, and other documents related to or discovered during audits, evaluations, inspections and other reviews.

\0 (a) Final Reports.

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old.

\0 (b) Records created or acquired during the course of the audit and the development of the final report, including working papers and other documents.

DISPOSITION: TEMPORARY. Cut off at the end of the fiscal year in which the report was issued. Transfer to FRC when no longer needed for active Agency business or 5 years after cutoff. Delete/Destroy 10 years after cutoff.

\0 (c) Records created after the issuance of the final report related to the resolution or follow up on recommendations or findings contained in the final report.

DISPOSITION: TEMPORARY. Cut off at the end of the calendar year in which the report was issued. Transfer to an FRC when no longer needed for active Agency business or 5 years after cut off. Delete/destroy 10 years after cut off.

11 ~~96.~~ **OTHER OIG REPORTS.**

These documents include semi-annual reports as well as reports of peer reviews of other Offices of Inspectors General.

- (a) Semi-annual reports. Semi-annual reports summarizing the activities of the OIG during the 6 month periods ending Mar 31 and Sept 30. These reports are submitted to Congress through the EAC Chair. Reports include results/findings of audits, investigations, evaluations and other OIG functions and identifies problems, abuses, deficiencies, recommendations and statistical tables.

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old.

- (b) Peer review reports. Peer review reports consisting of evaluations done by other Offices of Inspector General on audits or investigations to determine whether work was done in compliance with auditing standards.

DISPOSITION: TEMPORARY. Cut off at the end of the calendar year after recommendations in report are closed. Destroy/delete 10 years after cut off.

- (c) Working papers, correspondence, and other documents supporting Semi-annual reports and peer review reports

DISPOSITION: TEMPORARY. Cut off at the end of the calendar year in which the record is created. Destroy/delete 10 years after cut off – the end of the calendar year in which the record is created

12 ~~97.~~ **OIG POLICY AND PROCEDURE FILES**

Records that define or document the policies and procedures established for planning, directing, controlling, performing and assessing OIG functions, including operation manuals, OIG policy bulletins, annual audit plans, strategic plans, and standard operating procedures.

DISPOSITION: TEMPORARY. Cut off when superseded or obsolete. Destroy/delete 5 years after cut off – when superseded or obsolete.

13 ~~98.~~ MISCELLANEOUS OIG DOCUMENTS

Subject matter files containing documents related to the function of the Office of Inspector General but do not relate to a specific audit, investigation, inspection, evaluation, review, policy or other report and which include documents as general outgoing correspondence, background documents, legislative reviews not covered elsewhere (e.g. #34 of this schedule), and single audit reports, annual audit workplan.

- 13 (a) General outgoing correspondence, background documents, legislative reviews, and single audit reports, annual audit workplan, and memorandums of understanding.

DISPOSITION: TEMPORARY. Cut off annually or after matter is close, whichever is later. Destroy/delete 5 years after cut off

- 13 (b) Congressional correspondence signed by the IG, Commissioner or Executive Director, excluding transmittals attached to OIG semi-annual report covered elsewhere in this schedule under (#96).

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old.

- 13 (c) Regularly scheduled reports - or other reports in response to Congressional direct requests or through hearing process, excluding OIG semiannual reports which are covered elsewhere in this schedule (#96).

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old.

- 13 (d) Congressional requests and responses directed to the Inspector General concerning formal audits and/or investigations of agency, grant recipient or other related outside entity.

DISPOSITION: PERMANENT. Cut off annually at the end of the calendar year in which the record is created. Transfer to an FRC when no longer needed for active business. Transfer paper records to the National Archives in 5 year blocks when the most recent records are 15 Years old. Transfer electronic records to the National Archives when 5 years old..

- 13 (e) Working Papers, correspondence, and other documents supporting congressional correspondence.

DISPOSITION: TEMPORARY. Cut off annually at the end of the calendar year in which the record is created. Destroy/Delete 10 years after the cutoff – end of the calendar year in which the record is created.

- 13 (f) Records created by the COR during contract administration. The COR file(s) should contain, but are not limited to, the following types of documentation: The contract instrument (i.e.-contract modifications, task orders, delivery orders, and the contractor's proposals applicable to these documents.) The COR's delegation letter, and all correspondence between the contractor and the contracting officer. A copy of the contractor's invoices/vouchers and any correspondence pertaining to the payments. The COR's trip reports and written memoranda to the file on telephone conversations or other meetings with the contractor. Evaluation of the contractor's performance. EXCLUDING, COR files relating to the oversight of a specific audit, evaluation or other study (including the final report) are filed with the work papers for that specific audit, evaluation or study. Does not include the official contracting file which is maintained by the contracting officer.

DISPOSITION: TEMPORARY. Cut off annually at the end of the calendar year after contract closeout. Destroy/Delete 6 years and 3 months after cutoff – the end of the year after contract closeout.

- 13 (g) Peer review reports, and associated documentation for peer reviews conducted by other OIG offices on EAC OIG. Annual quality assurance review and supporting documentation showing the results of OIG monitoring of its quality control procedures

DISPOSITION: TEMPORARY. Cut off at the end of calendar year after date of the subsequent peer review. Destroy 5 years after cutoff – the end of the calendar year after the date of the subsequent peer review.

- 13 (h) OIG employee training records, annual independence statements, OIG Organizational independence assessment.

DISPOSITION: TEMPORARY. Cut off at the end of the calendar year of the date of completed training or the external peer review that covers the time period of the documents. Destroy 5 years after cutoff, if no longer needed.